

現金證券交易帳戶

客戶資料表格

帳戶類別 公司帳戶

帳戶名稱	:
帳戶號碼	:
客戶主任	:
證監會中央編號	:
日期	:

上市公司 非上市有限公司 獨資經營 合夥經營 其他 _____

公司資料	
實體或分支機構的法定名稱	
業務性質	經營年期
目前的營業地址	
	城市: _____ 國家: _____
通訊地址 (不接受郵政信箱)	
	城市: _____ 國家: _____
實體成立為法團或設立 所在的稅務管轄區	
稅務編號	
商業登記號碼	商業登記號碼
註冊地點	註冊日期
公司註冊證編號	營業電話號碼
電郵地址	傳真號碼
結單收取方式	<input type="checkbox"/> 電子郵件 電郵地址: _____ <input type="checkbox"/> 郵寄
申請網上證券交易服務	<input type="checkbox"/> 否 <input type="checkbox"/> 是 請另填網上證交易服務申請表

公司董事詳情			
董事姓名	身份證/護照號碼	電話號碼	地址

股東詳情

擁有百分之十或以上的公司最終權益擁有人(不適用於上市公司)

股東名稱	身份證/護照號碼	電話號碼	地址	持股百分比

最終擁有人

客戶是否戶口最終實益人

是 否 請填寫最終實益人的詳細資料

客戶是否戶口交易指示發出者

是 否 請填寫最終戶口指示發出者的姓名

銀行資料

款項將根據客戶的提款指示轉入以下銀行帳戶

港元戶口 銀行名稱	帳戶號碼
香港人民幣戶口 銀行名稱	帳戶號碼

身份證明

帳戶之任何董事、主要股東或最終實益擁有人、或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶、或與其關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

 否 是，請說明 _____

帳戶之任何董事、股東或最終受益擁有人是否是證券及期貨條例（香港法例第 571 章）中所定義的持牌/註冊人士，或持牌法團/註冊機構？

 否 是，請列明 _____
必須提供僱主之書面同意書

帳戶之任何董事、股東或最終受益擁有人是否榮通證券有限公司或其集團公司的員工？

 否 是，請列明 _____

帳戶之任何董事、股東或最終受益擁有人的親屬是否榮通證券有限公司(「榮通」)或其集團公司的員工？

 否 是，請列明 _____

申請確認書

- 注意所有與榮通完成或透過榮通進行之交易均受客戶協議(定義請參閱下文)之條件及條款所限制；及
- 細閱已按照閣下所選擇的語言(英文或中文)而提供予閣下的客戶協議(包括風險披露聲明)，提出問題及徵求獨立的意見(如閣下有此意願)。
- 客戶確認已收取榮通之客戶協議(包括協議所有部份及附錄)、風險披露聲明、客戶資料表格及其他與是次開戶有關的協議及文件(如適用)(合稱「客戶協議」)及確認客戶協議(包括風險披露聲明)是按照客戶所選擇的語言(英文或中文)而提供，並已邀請客戶閱讀該客戶協議(包括風險披露聲明)，提出問題及徵求獨立意見(如客戶有此意願)。客戶確認已仔細閱讀，充分理解並接受載於客戶協議內(包括風險披露聲明)的所有條款和規定，並同意遵守客戶協議(包括風險披露聲明)可能會不時修改的所有條款和規定。

個人資料之使用

- 客戶確認客戶已閱讀並明白客戶協議附件二之有關《個人資料(私隱)條例》的客戶通知。除非客戶剔選以下方格以表示不同意客戶的個人資料為直接促銷之目的而被使用，客戶確認並同意根據客戶協議附件二之有關《個人資料(私隱)條例》的客戶通知為直接促銷之目的而使用及/或轉移客戶的個人資料。
- 客戶不同意榮通將客戶的個人資料使用及/或轉移作直接促銷的目的。

申請人聲明

- 客戶茲聲明在此客戶資料表格內的資料均為屬實、完整及正確。榮通獲授權隨時聯絡任何人，包括但不限於客戶之銀行、經紀或任何信用機構，以求證實客戶資料聲明內所載之內容。
- 客戶承諾任何載於此客戶資料聲明內的任何變更，客戶盡快以書面通知榮通。除非榮通收到客戶更改有關內容的書面通知，榮通有權在任何情況下完全倚賴客戶的證明及確認。

客戶簽署：

_____ 

授權人簽字及公司印鑑

日期：

榮通證券有限公司代表聲明

本人 _____ (註冊人姓名) 證監會 CE 編號 _____ 已按照客戶所選擇的語言(英文或中文)向 _____ (客戶姓名)提供此風險披露聲明書，並已邀請他/他們仔細閱讀此風險披露聲明書、提出問題並徵求獨立意見(如果他/他們有此意願)。

註冊人簽字:

日期：

董事會決議摘錄

致: 榮通證券有限公司

吾等, _____ (公司名稱) 確認, 為於榮通證券有限公司 (「榮通」) 開立一個或多個現金證券交易帳戶, 於 _____ 假座 _____ 正式召開及舉行董事會會議。以下個人出席會議。

董事姓名	簽署
_____	_____
_____	_____
_____	_____

於會上通過下列決議案:

- (1) 下列任何一位人士獲本公司授權作為本公司之代表, 以本公司之名義向經紀發出有關證券交易之指示或指令 (不論是書面、口述或以其他方式傳達的)

姓名	香港身份證/護照號碼	電話號碼	簽署式樣
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

- (2) 下列任何一位人士獲授權:

姓名	香港身份證/護照號碼	電話號碼	簽署式樣
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

- (a) 代表本公司並以本公司名義簽署一切所需協定、同意書、指示函或其他經紀所要求之文件, 以用作開立及運作帳戶、網上交易帳戶及進行證券交易交付之用;
- (b) 代表本公司並以本公司名義由帳戶中提取或轉走任何款項、證券或抵押品;
- (c) 代表本公司由帳戶中轉出/轉入任何款項、證券或抵押品; 及
- (d) 簽署及寄發任何及一切為行使以上(a)、(b)及(c)所記述之授權所須之書面確認及文件。



會議主席簽署

日期

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IDENTITY DECLARATION FORM – Applicable to Foreign Account Tax Compliance Act (FATCA)
身分聲明表格 – 適用於《海外帳戶稅收合規法案》(FATCA)

Corporate Account 公司帳戶

Account No. 帳戶號碼：	
Company Name 公司名稱：	Business Registration No.: 商業登記號碼：

FATCA Identity Declaration FATCA 身份聲明

This Section allows you to declare your identity under the Foreign Account Tax Compliance Act (“FATCA”) classification.
 本部分允許您根據《外國帳戶稅務合規法案》(「FATCA」)申報閣下的身份。

Please select one only 請選擇一項

1	The entity is incorporated, created or organized in the United States of America or under the law of the United States of America or of any of the States of the United States of America, including the District of Columbia. 本法團是在美國或根據美國法律或美國任何州份（包括哥倫比亞特區）的法律註冊成立、創立或組成。	<input type="checkbox"/>
2	The entity is a Financial Institution. 本法團是金融機構。	<input type="checkbox"/>
3	The entity has US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 本法團有持有超過 10% 股權的重大權益股東為美國公民／美國稅務居民。	<input type="checkbox"/>
4	The entity is set up as an investment vehicle (e.g. hedge fund) having US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding. 本法團成立為投資工具（如對沖基金），並有持超過 10% 股權的重大權益股東為美國公民／美國稅務居民。	<input type="checkbox"/>
5	The entity is set up as trust which has US citizen(s)/US tax resident(s) who is/are beneficiary(ies) of the trust. 本法團成立為信託，並有信託受益人為美國公民／美國稅務居民。	<input type="checkbox"/>
6.	Other entities (NOT an US entity) 其他法團實體（不是美國法團實體）	<input type="checkbox"/>

Client Consent to Disclose Information to third parties 客戶同意向第三方披露資料

I/We hereby give consent to Wintone to report my/our personal information to US IRS or applicable local regulators or tax authorities in order to compile with the requirements of FATCA.
 本人／吾等同意稟通匯報本人／吾等的個人資料予美國稅務局及／或相關本地司法、稅務或其他監管機構，以遵從 FATCA 的合規法案的規定。

Yes 是 / No 否

If You have Identity of one of the items 1 to 5 above and fail in providing the self-certification (which may be on an IRS Form W-8 or W-9, or a similar agreed form) and/or do not give the above consent to Wintone. The Account will be treated as a Non-Consenting U.S. Account. Wintone will report “aggregate information” of account balances, payment amounts and number of non-consenting US accounts to the US IRS

如閣下擁有以上 1 至 5 的其中一項身份，則必須提交個人身份文件證明（如美國稅務局的 W-8 或 W-9 表格或一致同意的相類同表格）；若未能提供該文件證明及／或不給予稟通以上同意，此帳戶會被列為拒絕披露資料帳戶，稟通將會向美國稅務局匯報該等拒絕披露資料的相關美國帳戶結餘、收支總額及數量的「綜合資料」。

Notice and Agreement relating to Foreign Account Tax Compliance Act and other Applicable Laws
有關《外國帳戶稅務合規法》和其他適用法律的聲明和協定

Acknowledgement regarding compliance with Foreign Account Tax Compliance Act (“FATCA”) and other Applicable Laws
客戶確認符合《外國帳戶稅務合規法》(「FATCA」) 和其他適用法律。

You acknowledge that Wintone Securities Limited (“Wintone”) may be obliged to comply with, observe or fulfill the requirements of the laws, regulations, orders, guidelines, codes, and requirement including the applicable requirements under FATCA of or agreements with any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers within or outside Hong Kong, including without limitation, the Internal Revenue Service of the United States of America (the “Authorities” and each an “Authority”) in various jurisdictions as promulgated and amended from time to time (the “Applicable Requirements”). In this connection, you agree that Wintone may disclose your particulars to any Authority, or withhold payments otherwise payable to you, in ease case in circumstances as specified in this form, for the purpose of ensuring our compliance or adherence with the Applicable Requirements.

閣下承認榮通證券有限公司(「榮通」)須遵從、遵守或履行法律、法規、命令、指引、守則和包括 FATCA 適用規定的要求、或任何法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會的要求，包括但不限於美國的稅務局(以下簡稱「監管機構」)在不同的司法管轄區(以下簡稱「適用規定」)不時頒布及修訂的協定。在這方面，閣下同意我們可以根據本表格列明的每種情況，向任何監管機構透露閣下的個人資料或扣留任何支付給閣下的款項，以確保我們遵從適用規定。

In this Notice and Agreement “Compliance Requirements” refer to obligations imposed on Wintone under or pursuant to:

- a) any laws binding or applying to it within or outside Hong Kong existing currently and in the future;
- b) any guidelines or codes given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers within or outside Hong Kong existing currently and in the future; and
- c) any present or future contractual or other commitments with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers that are assumed by or imposed on the Wintone by reason of its financial, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations.

在本聲明和協定中，「合規要求」指根據下列各項對榮通施加的義務：

- a) 不論於香港境內或境外及不論目前或將來存在的對其具法律約束力或適用的任何法律；
- b) 不論於香港境內或境外及不論目前或將來存在的任何法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會作出或發出的任何指引或守則；
- c) 榮通因其位於或跟相關本地或外地法律、監管、政府、稅務、執法或其他機關，或全融服務供應商的自律監管或行業組織或協會承擔或被彼等施加的任何目前或將來的合約或其他承諾。

1. Disclosure of Information 資料披露

You consent to and authorize Wintone, its staff and any other person who by reason of their scope of work or capacity or office have access to Wintone’s records, registers or any correspondences or materials with regard to Your personal and account information (“Personal Information”) to disclose any of the Personal Information, where such disclosure is required under any applicable Compliance Requirements, to:

- a) any of the Wintone’s branches, holding company, representative offices, subsidiaries and affiliates, wherever situated and which may be within or outside of Hong Kong; and
- b) any local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers, including but not limited to any settlement and clearing agencies, all of which may be within or outside Hong Kong and may be existing currently and in the future.

You undertake and agree to obtain this consent and authorization from any person associated with You, including Your legal and equitable owners and payment recipients, in respect of which the disclosures may be required under any Compliance Requirements.

閣下同意並接受榮通、其職員及任何其他因工作、職責或職權範圍而可接觸到榮通內有關閣下個人及帳戶資料的記錄、登記冊或任何通訊或材料(「個人資料」)的人士，根據任何適用的合規要求，向以下機構披露任何該等個人資料：

- a) 榮通任何分行、控股公司、代表辦事處、附屬公司或聯屬機構，不論是位於何處及在香港境內或境外；及
- b) 任何本地或外地的法律、監管、政府、稅務、執法或其他機構，或金融服務供應商的自律監管或行業組織或協會，包括但不限於不論目前或將來存在的任何結算及交收機構。

閣下承諾及同意，就按照任合規要求所須作出的披露，向閣下任何相聯者(包括閣下法律及衡平法上的擁有人和付款的收款人)索取此項同意及授權。

2. Cooperation with Enquiries 就查詢予以合作

You will cooperate fully in respect of any enquiries that Wintone may make for the purpose of compliance with any Compliance Requirements, including promptly providing all relevant information, details and/or documents as may be necessary to enable Wintone to comply with the same.

閣下將對榮通為遵守任何合規要求而作出的任何查詢予以充分合作，包括盡速提供所有必需的相關資料、詳情及/或文件，以便榮通遵從該等要求。

3 Notification on Change in Circumstances 情況變更通知

You will promptly notify Wintone in writing of any changes in:

- a) Your particular(s), circumstance(s), status, including any changes in citizenship, residence, tax residency, address(es) on record, telephone or facsimile number or email address; and
- b) (where applicable) Your constitution, shareholders, partners, directors or company secretary, or the nature of Your business.

閣下將盡速以書面通知榮通下述任何變更：

- a) 閣下的資料、狀況、身分，包括任何有關公民身分、居所、稅務上的常駐國家、記錄上的地址、電話、傳真號碼或電郵地址的變更；及
- b) (如適用) 閣下的組織章程、股東、合夥人、董事或公司秘書、或閣下業務的性質。

4. Withholding Payments 預扣付款

Any sum that may be payable by Wintone to You shall be subject to all applicable laws and regulations, including Compliance Requirements and rules prescribed by the relevant settlement and clearing agencies, any withholding tax requirements, foreign exchange restrictions or control. You agree and acknowledge that pursuant to the foregoing, Wintone may, without notice or liability to You, perform, or cause to be performed, withholding of any monies payable to You, deposit any such monies into a sundry or other account and/or retain such monies pending determination of the applicability of such withholding tax requirements, foreign exchange restrictions or control. Wintone shall not be liable for any losses that may be incurred by reason of such withholding, retention or deposit.

榮通應向閣下支付的任何款項須受所有適用法律和法規約束，包括合規要求及相關結算收交機構訂明的規則、任何預扣稅要求、外匯限制或管制。閣下同意及確認，榮通可依據上文履行或安排履行下述事宜：代扣任何應付予閣下的款項，將任何該等款項存入雜項或其他戶口及／或保留該等款項以待釐定上述預扣稅要求、外匯限制或管制的適用性，而無需通知閣下或對閣下負上任何責任。對於因上述代扣、保留或存入款項而可能導致的任何損失，榮通概不負責。

5. Account Termination 帳戶終止

You agree that Wintone has the right to block transactions, transfer arrangements or terminate all or any of Your accounts or the agreements or arrangements entered into between You and Wintone at any time without having to give any reason or notice if You fail to comply with any of the requirements under this Notice.

閣下同意，如閣下未能遵從本聲明和協定內任何要求，榮通有權隨時凍結任何交易、轉移任何安排，或終止閣下所有或任何帳戶或與榮通訂立的協議或安排，而無需給予任何理由或通知。

6. Terms Inconsistency 條款不一致

If there is any inconsistency between the terms herein and any other terms in the Client Agreement and/or arrangements that You entered into with Wintone, the terms herein shall prevail insofar as they relate to Wintone's compliance with the Compliance Requirements.

倘本文所列條款與閣下與榮通訂立的客戶協議及／或安排內任何其他條款不一致時，凡涉及榮通對合規要求的遵守，均須以本文所列條款為準。

Should there be any inconsistencies between the English and Chinese versions, the English version shall prevail
中英文版本如有任何歧義，概以英文版本為準。

Declaration by Client 客戶聲明

I/We hereby confirm the information provided by me/us is true, accurate and complete.
本人／吾等確認本人／吾等所提供的資料是真實、準確及完整的。

I/We agree and undertake to notify Wintone within 30 days if there is a change in any information which I have provided to Wintone.
本人／吾等同意並承諾，倘向榮通提供的資料有任何變更，本人／吾等會於30日內通知榮通。

I/We will indemnify and hold harmless Wintone from any loss, action, cost, expense (including but not limited to sums paid in settlement of claims, reasonable attorney's and consultant fees, and expert fees), claim, damages, or liability which arises or is incurred by Wintone in discharging its obligations under FATCA and/or as a result of disclosures to the US tax authorities.
本人／吾等將就榮通因履行FATCA義務及／或向美國稅務機構關於披露資料所引致或產生的任何損失、訴訟、成本、開支（包括但不限於理賠中支付的款項、合理的律師和顧問費、專家費用）、索償、損害或債務提供彌償，並保證榮通不致蒙受相關損害。

I/We hereby confirm and accept the Notice and Agreement relating to Foreign Account Tax Compliance Act and other Applicable Laws and understand that such Notice will form part of the Client Agreement and it is not able for Wintone to setup an account for me/us if the requested form(s) and/or information are not provided.
本人／吾等確認並接受稅務要求通知的規定，並明白此有關《外國帳戶稅務合規法》和其他適用法律的聲明和協定將為客戶協議之一部分，本人／吾等明白倘未能提供所需表格及／或資料，則榮通將無法為本人／吾等開立帳戶。

Client's Signature 客戶簽署:

Authorized Signature(s) & Company Chop 授權人士簽字及印鑑

Name 姓名 :

Capacity 身份 :

Date 日期 :

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ENTITY SELF-CERTIFICATION FORM (CRS)
實體自我證明表格

Corporate Account 公司帳戶

For joint or multiple account holders, complete a separate form for each entity account holder.
 對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格

Important Notes 重要事項：
<ul style="list-style-type: none"> This is a self-certification form provided by you to Wintone Securities Limited (“Wintone”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Wintone to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由閣下向榮通提供的自我證明，以作自動交換財務帳戶資料用途。榮通證券有限公司(「榮通」)可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。 You should report all changes in your tax residency status to Wintone. 如閣下的稅務居民身份有所改變，應盡快將所有變更通知榮通。 As a Financial Institution, Wintone is not allowed to give tax or legal advice. If you have any questions regarding your tax residency, please consult your tax advisor or the information for CRS at the following links at http://www.oecd.org/tax/automaticexchange/crs-implementation-and-assistance/ and http://www.ird.gov.hk/eng/tax/dta_aeoi.htm. 榮通為一間財務機構不獲允許提供稅務或法律意見。若閣下對您的稅務民狀態存有任何疑問，請詢問專業稅務顧問或瀏覽 http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance 及 http://www.ird.gov.hk/chi/tax/dta_aeoi.htm 網站 CRS 資料。 Information in fields/parts marked with an asterisk (*) are required to be reported by Wintone to the Inland Revenue Department. 在欄/部標有星號(*)的項目為榮通須向稅務局申報資料。

Part 1 Identification of Corporate Account Holder 第 1 部 公司帳戶持有人的身份識別資料	
Account No. 帳戶號碼:	Account Name 帳戶名稱:
Legal Name of Entity or Branch* 實體或分支機構的法定名稱*:	
Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區:	Hong Kong Business Registration Number 香港商業登記號碼:
Current Business Address 現時營業地址	

City* 城市*	Country* 國家*
Mailing Address 通訊地址 (Complete if different to the current business address 如通訊地址與現時營業地址不同，請填寫此欄)	

City 城市	Country 國家

Delete as appropriate 刪去不適用者\

Part 2 Entity Type 第2部實體類別	
Please tick one of the appropriate boxes and provide the relevant information 在其中一個適當的方格內加上號，並提供有關資料。	
Financial Institution 財務機構	<input type="checkbox"/> Custodian Institution, Depository Institution or Specified Insurance Company 託管機構，存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction. 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market. 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market. _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a government entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities. 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明 _____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體

Part 3 Controlling Persons (Complete this part if the corporate holder is a passive NFE) 第3部 控權人 (如公司帳戶持有人是被動非財務實體，請填寫此部)	
Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over any entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。	
Complete Form (Self-Certification Form – Controlling Person) for each controlling person. 每名控權人須分別填寫一份(自我證明表格 – 控權人) 表格。	
(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)***第4部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）***

PLEASE complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where you are a **resident for tax purposes** and (b) your TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.
請提供以下資料，列明(a) 閣下的居留司法管轄區，亦即閣下的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給閣下的稅務編號。列出所有（不限於5個）居留司法管轄區。

If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
如閣下是香港稅務居民，稅務編號是閣下的香港身份證號碼。

If you are not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.
如果閣下並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, please provide the appropriate reason A, B or C:
如沒有提供稅務編號，必須填寫合適理由A、B或C：

Reason A – The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.

理由A – 閣下的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.

理由B – 閣下不能取得稅務編號。如選取這一理由，解釋閣下不能取得稅務編號的原因。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由C – 閣下毋須提供稅務編號。居留司法管轄區的主管機關不需要閣下披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由A、B或C	Explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋閣下不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 5 Declarations and Signature 第5部 聲明及簽署

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.
本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完整。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Wintone for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，榮通可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格

I undertake to advise Wintone Securities Limited of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Wintone Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第1部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知榮通證券有限公司，並會在情況發生改變後30日內，向榮通證券有限公司提交一份已適當更新的自我證明表格。

I confirm that I have received and read the Notice to Clients relating to the Personal Data (Privacy) Ordinance (“Notice”). I understand and agree to the Notice.

本人已收訖及閱畢《個人資料(私隱)條例的通知》（「通知」）。本人同意及確認該通知。

Delete as appropriate 刪去不適用者\

Client’s Signature 客戶簽署:

Authorized Signature(s) & Company Chop 授權人士簽字及印鑑

Name 姓名 :

Capacity 身份 :

Date 日期 :

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即HK\$10,000）罰款。

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簽名式樣

SPECIMEN SIGNATURE

Account no. 帳戶號碼 _____

AE 客戶主任 _____

Account Name 帳戶名稱: (English 英文)

(Chinese 中文)

HKID / Passport / Certificate of Incorporation No. _____

Authorized Signature(s):

Name 名稱 ID / Passport No. 身份證 / 護照號碼	Specimen Signature 簽名式樣

公司帳戶/ 聯名帳戶填寫

For use of Institutional / Corporate Account / Joint Account

1) Trading Instruction

Any _____ of the Authorized Person(s) / joint account holders specified on the above is / are authorized to give oral or written instructions in relation to the purchase and sale of any securities for the Account; and

交易指示

載於上述之任何 _____ 位獲授權人/ 聯名帳戶持有人獲授權可對有關帳戶之證券買賣作出口頭或書面指示；及

2) Settlement Instruction

Any _____ of the Authorized Person(s) / joint account holders specified on the above is / are authorized to give written instruction to withdraw or transfer any monies, securities.

交收指示

載於上述之任何 _____ 位獲授權人/ 聯名帳戶持有人獲授權可對有關帳戶的款項、證券之提取或轉移作出書面指示。

Specimen of Business Chop / Seal (For Institutional / Corporate Account)

公司蓋章式樣 (機構 / 公司帳戶適用)

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